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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003, Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)

330.00

## Complete if Known

Application Number 09/619,701-Conf. #1770  
Filing Date July 19, 2000  
First Named Inventor James W. Heater  
Examiner Name A. D. Tugbang  
Art Unit 3729  
Attorney Docket No. 20135-00315-US

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number

09-0457

Deposit  
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Name

IBM Corporation (Endicott)

The Director is authorized to: (check all that apply)

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### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$)

0.00

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims			
Multiple Dependent			

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

0.00

\*\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	330.00
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

330.00

### SUBMITTED BY

Name (Print/Type) George R. Pettit

Registration No.  
(Attorney/Agent)

27,369

(Complete if applicable)

Telephone (202) 331-7111

Signature


*George R. Pettit*

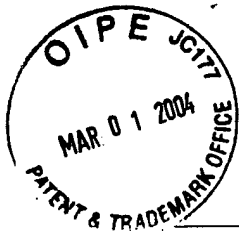
Date

3/1/04

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MAR 05 2004  
TECHNOLOGY CENTER R3700



TRANSMITTAL OF APPEAL BRIEF			Docket No. 20135-00315-US	
In re Application of: James W. Heater et al.				
Application No. 09/619,701-Conf. #1770	Filing Date July 19, 2000	Examiner A. D. Tugbang	Group Art Unit 3729	
Invention: UNIVERSAL TOOL FOR UNIFORMLY APPLYING A FORCE TO A PLURALITY OF COMPONENTS ON A CIRCUIT BOARD				
<p style="text-align: center;"><b><u>TO THE COMMISSIONER OF PATENTS:</u></b></p> <p>Transmitted herewith in triplicate is the Appeal Brief in this application, with respect to the Notice of Appeal filed: <u>October 29, 2003</u></p> <p>The fee for filing this Appeal Brief is <u>330.00</u></p> <p><input checked="" type="checkbox"/> Large Entity      <input type="checkbox"/> Small Entity</p> <p><input type="checkbox"/> A check in the amount of _____ is enclosed.</p> <p><input checked="" type="checkbox"/> Charge the amount of the fee to Deposit Account No. <u>09-0457</u> This sheet is submitted in duplicate.</p> <p><input type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees that may be required or credit any overpayment to Deposit Account No. <u>09-0457</u> This sheet is submitted in duplicate.</p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"><div style="width: 60%;"><hr/><p>George R. Pettit, Reg. No. 27,369 CONNOLLY BOVE LODGE &amp; HUTZ LLP 1990 M Street, N.W., Suite 800 Washington, DC 20036-3425 (202) 331-7111</p></div><div style="width: 35%; text-align: right;"><p>Dated: <u>3/1/04</u></p></div></div>				
<p>RECEIVED MAR 05 2004 TECHNOLOGY CENTER R370</p>				



Docket No.: 20135-00315-US  
(PATENT)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application of:  
James W. Heater et al.

Application No.: 09/619,701

Confirmation No.: 1770

Filed: July 19, 2000

Art Unit: 3729

For: UNIVERSAL TOOL FOR UNIFORMLY  
APPLYING A FORCE TO A PLURALITY OF  
COMPONENTS ON A CIRCUIT BOARD

Examiner: A. D. Tugbang

**BRIEF ON APPEAL**

MS Appeal Brief - Patents  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

This brief is in furtherance of the Notice of Appeal, filed in this case on  
October 29, 2003.

The fees required under § 1.17(f) and any required petition for extension of time for filing  
this brief and fees therefor, are dealt with in the accompanying TRANSMITTAL OF APPEAL  
BRIEF.

This brief is transmitted in triplicate.

This brief contains items under the following headings as required by 37 C.F.R. § 1.192  
and M.P.E.P. § 1206:

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I. REAL PARTY IN INTEREST

The real party in interest for this appeal is the International Business Machines Corporation, Assignee of the application.

II. RELATED APPEALS AND INTERFERENCES

There are no related appeals or interferences known to the Appellants' legal representatives which will directly affect or be directly affected by or have a bearing on the Board's decision in the pending appeal.

III. STATUS OF CLAIMS

Claims 1-4 are withdrawn from consideration. Claims 11-15 stand rejected.

IV. STATUS OF AMENDMENTS

No amendments have been filed after the Final Rejection.

V. SUMMARY OF INVENTION

The present invention relates to a method for applying a bonding pressure to circuit board components. In particular, the method is used to bond heat sinks to electrical components. An adhesive which has a good heat transfer characteristic is used to bond the heat sink to a circuit board component. During the process of bonding the heat sink to the component, the adhesive material is applied to the component and an amount of uniform pressure is applied to the heat sink to establish a high strength bond with the component.

In most applications, a plurality of such heat sinks are bonded to a plurality of components of the circuit board. Fig. 1 illustrates a circuit board 5 having such components, where a heat sink is to be bonded thereto using the method. First, second and third pressure cylinders 11, 12 and 13 are supported over the board along first and second axes. Each of the pressure cylinders have a foot 13A (shown in Fig. 2) which engages with the heat sink 4 and forces the heat sink into contact with a circuit board contact via an adhesive 2. The force is

applied simultaneously to all of the pressure cylinders, and the feet of the pressure cylinders extends simultaneously to extend a force against the components for a duration of time sufficient to allow an adhesive coated component to bond to the circuit board.

Following the predetermined time, the feet 13A are retracted and a new board may be placed in the tool and the process may be repeated.

## VI. ISSUES

The issues presented on appeal are:

1. Whether claims 11-15 are unpatentable under 35 U.S.C. § 112;
2. Whether claims 11-15 are unpatentable under 35 U.S.C. § 102(b) as being anticipated by Lape, (U.S. Patent No. 5,093,984) and;
3. Whether claims 11-15 are unpatentable under 35 U.S.C. § 103 over Lape in view of Harada (U.S. Patent No. 4,675,993).

## VII. GROUPING OF CLAIMS

Claims 11-13 and 15 stand and fall together. Claim 14 stands and falls alone.

## VIII. ARGUMENTS

### The Rejection of Claims 11-15 Under 35 U.S.C. § 112 Is In Error

Claim 11 has been rejected under 35 U.S.C. § 112, second paragraph as being indefinite for failing to particularly point out and distinctly claim the subject matter which Appellants regard as the invention.<sup>1</sup> In accordance with the final rejection page, 2,

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<sup>1</sup> The undersigned repeats his offer made in the Final Rejection to amend the claim in a way which the Examiner considers appropriate.

In claim 11, recitation of "adhesive coated component" (line 8) is unclear. If this is referring to the previous recitation of "components" (line 3), how many groups of components are there?

The claim as written refers to a method for applying a bonding pressure to circuit board components bonded to a circuit board. Each recitation of the term "components" throughout the claim, including those in lines 3 and 8 of claim 11, refers to this process where components are bonded to a circuit board. Accordingly, there is only one set of components and the claim is believed to be clear on this point. While a plurality of components are recited in the preamble of the claim, it is clear from the language of the claim that first, second and third pressure cylinders positioned over components on the board have a single foot which can be extended against a single component underneath the cylinder.

The required clarity and precision under 35 U.S.C. § 112, second paragraph, is stated more succinctly in MPEP Section 2173.02. That section of the MPEP requires the following:

When the Examiner is satisfied that patentable subject matter is disclosed, and it is apparent to the Examiner that the claims are directed to such patentable subject matter, he or she should allow claims which define the patentable subject matter with a reasonable degree of particular clarity and distinctness. Some latitude in the manner of expression and the aptness of terms should be permitted. Even though the claim language is not as precise as the Examiner might desire. Examiners are encouraged to suggest claim language to Applicants to improve the clarity or precision of the language used, but should not reject claims or insist on their own preferences if other modes of expression selected by the Applicants satisfy the statutory requirement. MPEP 2173.02

It is considered that the claims as written satisfy this obligation. As to the answer of how many groups of components are there, the claim only specifies a plurality and there should be no confusion by referring to one component of the plurality.

The rejection of claims 11-15 Under 35 U.S.C. § 102(b) As Being Anticipated By Lape (U.S. Patent 5,093,984) Is In Error

To anticipate a claim, the reference must teach every element of the claim. A claim is anticipated only if each and every element as set forth in the claim is found either expressly or inherently described in a single prior art reference. *Verdegaal Bros. v. Union Oil Co. of California*, 814 F.2d 628, 631, 2 USPQ2d 1051, 1053 (Fed. Cir. 1987). The identical invention must be shown in as complete detail as is contained in the claim. *Richardson v. Suzuki Motor Co.*, 868 F.2d 1226, 1236, 9 USPQ2d 1913, 1920 (Fed. Cir. 1989). MPEP § 2131.01

The Lape reference fails to meet the requirements of an anticipating reference. The Final Rejection alleges that:

Lape discloses the claim method comprising....each of pressure cylinders having a footpad (pad portion 260) which extends under air pressure against the components; and supplying a source of pressurized air simultaneously to the pressure cylinders (shown in Fig. 18) whereby feet (pad portion 260) of the pressure cylinders extend simultaneously to apply a force against the components. (See col. 11, lines 2 + and col. 14, line 59+).

The foregoing assertion, that Lape shows pressure cylinders having a foot pad (pad portion 260) which extends under air pressure against the components, is in error. Pad portion 260 comprise a vacuum tip which is disclosed in col. 20 of the patent, lines 57-64 for capturing the circuit device resting free in the socket base 11. Thus, when the component is removed from the socket, the vacuum tip is brought into place and lifted free of the socket after the socket spring bias has been removed to free the component from the socket.

This structure does not anticipate that portion of claim 11, which requires:

Supporting first, second and third pressure cylinders over components on said circuit board...each of said pressure cylinders having a foot which extends under pressure against said components; and supplying a source of pressurized air simultaneously to said pressure cylinders whereby feet of said pressure cylinder simultaneously extend to apply a force against said components for a duration of time sufficient to bond an adhesive coated component to said circuit board.

The Lape reference is directed to the system for loading and unloading circuit components to a burn in test fixture. Components are loaded on a tray which are individually loaded into sockets for burn in. The alleged structure of Lape which allegedly corresponds to the pressure cylinders having feet of claim 11 is in fact a cylinder head for forcing socket contacts open, not for applying a force against the component so that it can be bonded to any part of a circuit board.

The Rejection of Claims 11-15 Under 35 U.S.C. § 103(a) As Being Unpatentable Over Lape In View of Harada (U.S. Patent 4,675,993) Is In Error

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As was noted with respect to Lape, Harada also fails to disclose any system for applying pressure from feet of a pressure cylinder to a component being mounted on a circuit board. Harada, is directed to a pick and place system where a vacuum suction head locates an electronic component on a circuit board. These systems select components for placement, and pick up the component through a vacuum suction head. The mounting head carries the component over the location where it is to be placed, and then it is positioned on the circuit board. In reviewing Harada, there does not appear to be any ability to apply pressure to a component so that a bonding force is realized between the component on a surface to which the chip is mounted. Since neither reference discloses any extendible foot, from a pressure cylinder, which can apply pressure to a component being bonded to a surface, it is not seen how they can be combined in any way to suggest the subject matter of claim 11.

To establish *prima facie* obviousness of a claimed invention, all of the claim limitations must be taught or suggested by the prior art. *In re Royka*, 490 F.2d 981, 180 USPQ 580 (CCPA 1974). All words in a claim must be considered in judging in patentability of that claim against the prior art. *In re Wilson*, 424 F.2d 1382, 1385, 165 USPQ 494, 496, (CCPA 1970). MPEP 2143.03. Accordingly, the foregoing rejection fails to disclose the features of claim 11, even with the two references combined as proposed and fails to make a *prima facie* case of obviousness. Further, as set forth in the aforesaid MPEP section, if an independent claim is not obvious under 35 U.S.C. § 103, then any claim depending therefrom is not obvious.



Claim 14 is dependent on claim 11, and specifically calls for a timed pulse of air, to apply a pressure to the components for a fixed duration of time. It is not clear from the references, (which as noted above fail to supply any bonding force to a component) where there is any timed pulse of air produced for this or any other purpose. Accordingly, claim 14 is believed to be independently allowable.

Claim 15 also requires that the pulse of air be regulated which is not evident from the cited references.

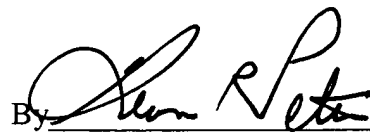
#### IX. SUMMARY

The foregoing demonstrates that the rejected claims contain limitations which were not shown or disclosed in either of the cited references. Neither Lape nor Harada illustrates the use of piston devices, having extending feet which apply pressure to a component which is being adhesively bonded to a circuit board. Given the fact that neither reference has such structure, neither reference either individually or combined can anticipate under 35 U.S.C. § 102 or render obvious under 35 U.S.C. § 103 the subject matter. The Honorable Board of Patent Appeals and Interferences is, therefore, requested to reverse the final rejection.

Applicant believes no fee is due with this response. However, if a fee is due, please charge our Deposit Account No. 09-0457, under Order No. 20135-00315-US from which the undersigned is authorized to draw.

Dated: 3/1/04

Respectfully submitted,

By 

George R. Pettit, Reg. No. 27,369  
CONNOLLY BOVE LODGE & HUTZ LLP  
1990 M Street, N.W., Suite 800  
Washington, DC 20036-3425  
(202) 331-7111  
(202) 293-6229 (Fax)  
Attorneys for Applicant

## **APPENDIX A**

### **Claims Involved in the Appeal of Application Serial No. 09/619,701**

11. (Previously Amended) A method for applying a bonding pressure to circuit board components being bonded to a circuit board comprising:

supporting first, second and third pressure cylinders over components on said circuit board along one of first and second axes, each of said pressure cylinders having foot which extends under air pressure against said components; and

supplying a source of pressurized air simultaneously to said pressure cylinders whereby feet of said pressure cylinders simultaneously extends to apply a force against said components for a duration of time sufficient to bond an adhesive coated component to said circuit board.

12. (Previously added) The method for applying pressure to said pressure cylinders according to claim 11 wherein said step of supporting includes a step of positioning said pressure cylinders along said first and second axes to align said cylinder feet with a respective component on said circuit board.

13. (Previously added) The method for applying a pressure to said pressure cylinders according to claim 12 wherein said positioning step includes positioning arms for supporting said pressure cylinder along channels which are located along said axes.

14. (Previously added) The method according to claim 11 wherein said pressurized air is supplied as a timed pulse wherein said pressure is applied to said components for a fixed duration of time.

15. (Previously added) The method according to claim 11 wherein said step of supplying said timed pulse of pressurized air includes regulating the time pulse of air.